

Roles, Responsibilities, and Guidelines for Laboratory Directed Research and Development at the Department of Energy/National Nuclear Security Administration Laboratories

1. PURPOSE

- 1.1. This document augments DOE Order 413.2B, Laboratory Directed Research and Development (LDRD). It establishes the roles, responsibilities, and guidelines for implementing the requirements of DOE Order 413.2B at the Department of Energy (DOE)/National Nuclear Security Administration (NNSA) laboratories.

2. ROLES and RESPONSIBILITIES

2.1. The Director, Office of Science, or designee:

- 2.1.1. Establishes Departmental policy in the form of DOE Order 413.2B and is the focal point for policy clarification and issue resolution.
- 2.1.2. Establishes and chairs the LDRD policy review committee that consists of members from the Office of Science, Office of Nuclear Energy, and NNSA.

2.2. Cognizant Secretarial Officer (CSO)/Deputy Administrator for NNSA or designees:

- 2.2.1. Exercise oversight of all LDRD activities at the laboratories for which they have oversight responsibility, with assistance from the responsible Site Office Manager or designee;
- 2.2.2. Review and approve the annual program plan and maximum funding level that may be expended or obligated on LDRD activities for the next fiscal year at each laboratory for which they have oversight responsibility; and notifies the DOE Site Offices and the laboratories in writing of the approved maximum funding levels before the beginning of the new fiscal year;
- 2.2.3. Annually review the laboratory LDRD programs for which they have oversight responsibility as described in Attachment 1: LDRD Program Review;
- 2.2.4. Grant exceptions to the policy of a maximum period of performance of 36 months for an LDRD project, with assistance from the responsible Site Office Manager or designee. Extension of a project beyond the normal 36-month limit is restricted to unusual circumstances with strong justification;
- 2.2.5. Conduct additional reviews, as necessary, in conjunction with the responsible Site Office, to ensure compliance with this Order and other LDRD-related requirements and/or for preparing the approval of the program plan and maximum funding level;
- 2.2.6. Assign additional general or specific tasks to the responsible Site Office, with their agreement, to ensure adherence to the requirements of DOE Order 413.2B; and

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- 2.2.7. Chair their respective LDRD Working Groups that consists of members from the responsible site offices and associated laboratories.

2.3. DOE/NNSA Site Office Managers or their designees:

- 2.3.1. In conjunction with the CSO/NNSA Deputy Administrator for NNSA,
 - 2.3.1.1. exercise oversight of the laboratory's LDRD activities, as required by DOE Order 413.2B;
 - 2.3.1.2. oversee the implementation of the laboratory's LDRD management system and the general administrative aspects of LDRD activities;
 - 2.3.1.3. assist in the annual review of the LDRD program as described in Attachment 1: LDRD Program Review;
- 2.3.2. Review the laboratory's proposed annual LDRD plan and funding level and provide a written recommendation on the plan and requested funding level to the responsible CSO/Deputy Administrator for NNSA;
- 2.3.3. Provide a written certification that the laboratory's method for accumulating LDRD funds meets the requirements of DOE Order 413.2B, and submit it to the CSO/Deputy Administrator for NNSA either before the recommendation on the LDRD Plan and requested funding level or with this recommendation;
- 2.3.4. Review each individual LDRD project data sheet, assess the proposed project's compliance with DOE Order 413.2B, and concur or withhold concurrence:
 - 2.3.4.1. within 30 calendar days from date of receipt of the project data sheet for each individual project that will start work at the beginning of the fiscal year;
 - 2.3.4.2. within 10 working days from date of receipt of the project data sheet for each individual late-start project (i.e., those projects that begin after October 1); or
 - 2.3.4.3. within 10 working days from the date of receipt of the project data sheet for each individual project requesting a cumulative budget increase of greater than or equal to 50 percent over the DOE approved amount or \$200,000, whichever is less. Cumulative budget increases up to \$25,000 do not require concurrence;
- 2.3.5. As necessary, provide additional assistance to the CSO/Deputy Administrator for NNSA in fulfilling the requirements outlined in DOE Order 413.2B, including active participation in the appropriate LDRD Working Groups;
- 2.3.6. Provide the responsible CSO/NNSA Deputy Administrator for NNSA with a written concurrence for any project for which the laboratory requests an exception from the policy of a maximum period of performance of 36 months for an LDRD project; and
- 2.3.7. Conduct special reviews, audits, and assessments as necessary to ensure compliance with DOE Order 413.2B and for continuous improvement.

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2.4. The Laboratory Directors or their designees:

- 2.4.1. Guide the laboratory's LDRD program to support the overall mission and goals of the laboratory consistent with the requirements of DOE Order 413.2B;
- 2.4.2. Ensure that all LDRD projects support the DOE national security missions (energy resources, nuclear security, environmental quality, and science), and to the extent required by law, support missions of other federal agencies;
- 2.4.3. Fully support all LDRD review and oversight activities and participate in the LDRD Working Groups;
- 2.4.4. Comply with the DOE Order 413.2B requirements as stated in the Contractor Requirements Document of this Order;
- 2.4.5. Submit an annual LDRD program plan, as described in Attachment 2: Reporting Requirements, for approval to the CSO/Deputy Administrator for NNSA and the responsible Site Office Manager at least 45 days before the start of the fiscal year;
- 2.4.6. Submit an annual LDRD report, as described in Attachment 2: Reporting Requirements, to the CSO/Deputy Administrator for NNSA and the responsible Site Office Manager within 6 months after the end of the fiscal year;
- 2.4.7. Submit a data sheet, as described in Attachment 2: Reporting Requirements, to the Site Office Manager for every project selected by the laboratory. For projects intended to begin at the start of the fiscal year, these data sheets should be submitted at least 30 days prior to the start of the fiscal year to allow at least 30 days for review by the DOE/NNSA Site Office manager or designee; for late-start projects, data sheets may be submitted at any time.
- 2.4.8. Submit a data sheet, as described in Attachment 2: Reporting Requirements, to the Site Office Manager for a project requesting a cumulative budget increase of greater than or equal to 50 percent over the DOE approved amount or \$200,000, whichever is less. Cumulative budget increases up to \$25,000 do not require concurrence.
- 2.4.9. Keep documentation on file for each approved LDRD project to show that the project has undergone proper review and is in compliance with all applicable requirements;
- 2.4.10. Respond to DOE/NNSA, Congressional, or auditor inquiries or requests for information in a timely manner; and
- 2.4.11. Support the annual LDRD Program Review (see Attachment 1) as instructed by the CSO/Deputy Administrator for NNSA.

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